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ELI LILLY AND COMPANY

By

Rea Sneed

Date

07 October 2005

PATENT APPLICATION
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Applicant: Michael Joseph Coghlan, et al.

Group Art Unit: 1654

Serial No.: 10/517,010

Application Date: December 3, 2004

For: TRICYCLIC STEROID HORMONE NUCLEAR RECEPTOR
MODULATORS

Docket No.: X-15110

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450
Sir:

As a means of complying with the duty of disclosure, Applicant submits an "Information Disclosure Citation In An Application" on a Form PTO-1449 (modified) and provides a copy of each of the listed documents for consideration by the Examiner.

Regarding the contents of the Information Disclosure Statement (IDS), Applicants would like to address some documents that have been excluded from the Form PTO-1449 and certain documents that have been included. The Specification of the present application at page 6 provides examples of the state of the art of the present invention. However, it is not believed that all of these references would be considered material to the patentability of the present invention and, thus, such documents merely provide background concerning the general subject matter of the invention. In addition, certain documents listed at page 6 of the Specification merely represent equivalent national or international filings of documents presently included on the IDS, or references believed to be cumulative to others presently cited. These equivalent and cumulative references have not been included in the present IDS.

In addition, certain specific documents have been included in the present IDS which although believed to lack sufficient disclosure to be considered material to the

Serial No. 10/517,010

patentability of the present invention, do in fact *claim* methods comprising the use of aldosterone blockers (e.g. mineralocorticoid receptor modulators) generally (see, for example WO 02/009759, WO 01/95892, and WO 02/17895).

Finally, the prior art includes numerous patents and published patent applications drawn to tricyclic agents useful in electrophotographic or electroluminescent compositions and methods. Applicants have provided herein what is believed to be a representative sample of these references, including U.S. Patents, as well as translations for certain of those applications that were published in Japanese. Note, for one Japanese reference, JP02032358, an English translation has not been provided herein. It is believed that this reference also teaches tricyclic derivatives for use in electronic composition or methods. Furthermore, it is believed that the compounds taught by this reference contain a substituted or unsubstituted tricyclic core linked to a singularly or multiply substituted aminophenyl moiety, wherein the carbon linker may also be substituted.

As a convenience to the Examiner, upon request Applicants are willing to provide copies of any of the documents discussed above that have not been included in the present submission. In addition, it is Applicants understanding that the Examiner has copies of the references cited in the International Search Report for the present application, therefore copies of these references, which are listed on the Form-1449, have not been included herein. In the event that Examiner has not received copies of these references, Applicants are willing to provide said copies upon request.

Since this Statement is being filed in accordance with 37 C.F.R. 1.97(b), Applicant submits that no additional fee is required. However, should an Office Action on the Merits have been mailed, please charge Deposit Account No. 05-0840 in the amount of the fee under 37 C.F.R. 1.17(p), and consider the information under 37 C.F.R. 1.97(c).

Applicant requests consideration of this information.

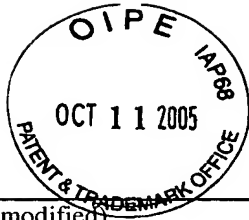
Respectfully submitted,



Alexander Wilson
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Phone: 317-277-0190

Eli Lilly and Company
Patent Division/AW
P.O. Box 6288
Indianapolis, Indiana 46206-6288

06 October 2005.



FORM PTO 1449 (modified) INFORMATION DISCLOSURE CITATION IN AN APPLICATION	Atty. Docket No. X-15110	Serial No 10/517,010
	Applicants Michael Joseph Coghlan, et al.	
	Filing Date December 3, 2004	Group 1654

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Pages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	3,351,588	November 7, 1967	Davis, et al.	
	AB	3,519,621	July 7, 1970	Humber, et al.	
	AC	4,999,363	March 12, 1991	Oshima, et al.	
	AD	6,362,188	March 26, 2002	Guzi, et al.	
	AE	4,282,233	August 4, 1981	Vilani	
	AF	5,024,912	June 18, 1991	Neishi, et al.	
	AG	5,093,210	March 3, 1992	Ohta, et al.	
	AH	5,378,701	January 3, 1995	Ohshima, et al.	
	AI	3,205,264	September 7, 1965	Tristram, et al.	
	AJ	5,726,325	March 10, 1998	Yoshida, et al.	
	AK	4,963,450	October 16, 1990	Miyazaki, et al.	
	AL	6,289,190	September 11, 2001	Amamiya, et al.	
	AM	3,859,356	January 7, 1975	Houlihan, et al.	
	AN	5,151,545	September 29, 1992	McCarthy, et al.	

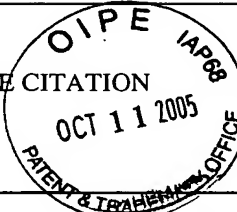
FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	⁷
		Country Code ³ -Number ⁴ - Kind Code ⁵ (if known)				
	BA	WO 00/06137	February 10, 2000	Abbott Laboratories		

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached. Burden Hours Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

FORM PTO 1449 (modified)		Atty. Docket No.	Serial No
		X-15110	10/517,010
		Applicants	
		Michael Joseph Coghlan, et al.	
INFORMATION DISCLOSURE CITATION IN AN APPLICATION		Filing Date	Group
		December 3, 2004	1654

	BB	GB 1 501 321	February 15, 1978	Sumitomo Chemical		
	BC	GB 1 001 822	August 18, 1965	Sandoz		
	BD	GB 1 242 096	August 11, 1971	Labaz		
	BE	GB 1 043 158	September 21, 1966	Sandoz		
	BF	WO 99/33786	July 8, 1999	Ortho-McNeil		
	BG	WO 00/59884	October 12, 2000	Dana-Farber Cancer Inst.		
	BH	EP 0 549 352	March 1, 2000	Kyowa Hakko Kogyo Co.		
	BI	WO 97/11071	March 27, 1997	Novo Nordisk		
	BJ	JP 01161245	June 23, 1989	Canon Inc.		Yes
	BK	JP 04046352	February 17, 1992	Minolta Camera Co., Ltd.		Yes
	BL	JP 05002278	January 8, 1993	Konica Corp.		Yes
	BM	JP 09101200	April 15, 1997	Canon Inc.		Yes
	BN	JP 02113258	April 25, 1990	Canon Inc.		Yes
	BO	JP 2001089680	April 3, 2001	Fuji Photo Film Co., Ltd.		Yes
	BP	JP 05281765	October 29, 1993	Kao Corp.		Yes
	BQ	JP 02032358	February 2, 1990			
	BR	WO 02/096893	December 5, 2002	Glaxo Group Limited		
	BS	WO 02/009759	February 7, 2002	Pharmacia Corporation		
	BT	WO 01/95892	December 20, 2001	Pharmacia Corporation		
	BU	WO 02/17895	March 7, 2002	Pharmacia Corporation		

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INFORMATION DISCLOSURE CITATION IN AN APPLICATION	Applicants Michael Joseph Coghlan, et al.	
	Filing Date December 3, 2004	Group 1654

NON PATENT LITERATURE DOCUMENTS

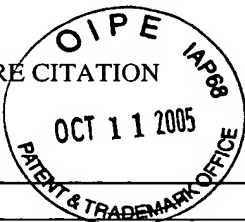
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher, city and/or country where published.	T ⁶
	CA	Werner, et al., "Imidazoline derivatives with antiarrhythmic activity," Journal of Medicinal Chemistry, Vol. 10, No. 4, pgs. 575-582; XP002283810 (1967)	
	CB	Gadient, et al., "Uber neuartige tricyclische Thiazepin- und Thiepin-Derivate," Helvetica Chimica ACTA, Vol. 45, No. 6, pgs. 1860-1870; XP002283811 (1962)	
	CC	Villani, et al., "Derivatives of 12,11-dihydro-5H-dibenzo'a,d!cycloheptene and related compounds. II" Journal of Medicinal Chemistry, Vol. 7, No. 4, pgs. 457-460; XP002283812 (1964)	
	CD	Bille-Same, et al., "Fulvenes et ethylenes thermochromes. LXXII. (1) Observations dans la serie du dibenzo'a,d!cyclohepta'1,4!diene," Bulletin De La Societe Chimique De France, No. 11, pgs. 4212-4214; XP002283813 (1972)	
	CE	Cordi, et al., "Synthesis and structure-activity of 4(5)-(2-2-diphenylethyl)imidazoles as new alpha2-adrenoreceptor agonists," European Journal of Medicinal Chemistry, Vol. 25, No. 7, pgs. 557-568; XP002283814 (1990)	
	CF	Cheng, et al., "Synthesis and structure-activity relationships of 9-substituted acridines as endothelin-A receptor antagonists," Biorganic & Medicinal Chemistry Letters, Vol. 6, No. 24, pgs. 2999-3002; XP002283815 (1996)	
	CG	Bastian, et al., "4H-Benzo '4,5!cyclohepta'1,2-b!thiophene," Helvetica Chimica ACTA, Vol. 49, pgs. 214-234; XP002263672 (1966)	
	CH	Daich, et al., "On the synthesis and reactivity of 4,10-dihydrobenzo'b!thieno-'2,3-e!thiepin-10-acetic acid and 5,10-dihydrobenzo'e!thieno-'2,3-b!thiepin-10-acetic acid," Journal of Heterocyclic Chemistry, Vol. 29, No. 7, pgs. 1789-1795; XP002283816 (1992)	
	CI	Polman, et al., "Photoaddition of aromatic ketones to some arylacetylenes; formation of alpha,beta-unsaturated ketones and aldehyde," Recueil Des Travaux Chimiques Des Pays-Bas, Vol. 92, pgs 845-854; XP008031504 (1973)	
	CJ	Wittig, et al., "Uber Ringerweiterung und Ringverengerung auf der Basis von Ylidisomerisationen," Justus Liebigs Annalen Der Chemie, Vol. 594, pgs. 89-118; XP008031512 (1955)	
	CK	Davis, et al., "New psychotropic agents. VIII. Analogues of amitriptyline containing the normeperidine group," Journal of Medicinal Chemistry, Vol. 10, No. 4, pgs. 627-635; XP002284192 (1967)	
	CL	R. G. Micetich, "Lithiation of five-membered heteroaromatic compounds. The methyl substituted 1,2-azoles, oxadiazoles, and thiadiazoles," Canadian Journal of Chemistry, Vol. 48, No. 13, pgs. 2006-2015 (1970)	

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	CM	Bergmann, et al., "Fulvenes and Thermochromic Ethylenes. Part 57. The Wittig-Horner Reaction with Fulvene Ketones and Related Ketones," Synthesis, Vol. 2, No. 4, pgs. 183-189 (1970)	
	CN	Fox, et al., "Synthetic Antigonadotropines. II," J. Med. Chem, Vol. 7, No. 6, pgs. 790-792 (1964)	
	CO	Boris, et al., "Antigonadotropic Activity of Some Substituted Triphenylethylene Derivatives," Arch. Intern. Pharmacodyn, Vol. 151, No. 3-4, pgs. 475-489 (1964)	
	CP	Bergmann, et al., "Fulvenes and Thermochromic Ethylenes. XXXIII. Polycyclic Derivatives of Heptafulvene," J. Org. Chem, Vol. 28, No. 12, pgs. 3341-3343 (1963)	
	CQ	Rabinovitz, J. Chem. Soc., Perkin Transactions 2: Physical Organic Chemistry, Vol. 12, pgs 1836-1838 (1972)	

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